

TARIFF FILING

Filing Requirements Checklist

(Applicable Authority: KRS 278.160, 807 KAR 5:011)

Case No. _____ Utility Name _____ Received Date _____ Form Circulation Date _____

Instructions:

- 1) Each Division noted by checkmark () is to complete its review and pass on within two days of receipt.
- 2) This form is to list only the specific filing deficiencies as identified in the regulations. If additional information is needed, an information request must be issued.
- 3) Staff member should use initials and list date review is completed.
- 4) Return to Docket Section following review by all Divisions.

Reviewed by Following Divisions:

	<u>Staff Member</u>	<u>Date</u>
_____ Filings Division	_____	_____
_____ Financial Analysis	_____	_____
_____ Engineering	_____	_____
_____ Legal	_____	_____

<u>Division Responsible</u>	<u>Law/Regulation</u>	<u>Filing Requirement</u>	Requirement <u>Met</u>	Waiver <u>Requested</u>	Approve <u>Waiver?</u>
			<u>YES</u> <u>NO</u>		<u>YES</u> <u>NO</u>
	<u>807 KAR 5:011</u>				
Financial Analysis	Section 3	1) Type not smaller than 6 point or typewritten on good quality paper.	___	___	___
Financial Analysis		2) Pages 8 1/2 x 11 in size.	___	___	___
Financial Analysis		3) Loose-leaf form using one side of the paper only, with not more than one schedule to a page.	___	___	___
Financial Analysis		4) Front cover page containing the following:			
Financial Analysis		a) Name of utility and location of principal office.	___	___	___
Financial Analysis		b) Statement of kind of service offered.	___	___	___

Division Responsible	Law/Regulation	Filing Requirement	Requirement Met		Waiver Requested	Approve Waiver?	
			YES	NO		YES	NO
Financial Analysis		c) General statement of territory served.	—	—	—	—	—
Financial Analysis		d) Date of issue and date tariff is to become effective.	—	—	—	—	—
Financial Analysis		e) Signature of the officer of the utility authorized to issue tariffs.	—	—	—	—	—
Financial Analysis		f) In the upper right hand corner, the Commission number of the tariff.	—	—	—	—	—
Financial Analysis	<u>807 KAR 5:011</u> Section 3	5) Second and succeeding pages containing:					
Financial Analysis		a) All the rules and regulations of the utility.	—	—	—	—	—
Financial Analysis		b) Rate schedules showing all Financial charges for the several classes of service.	—	—	—	—	—
Financial Analysis		c) Signature of the officer of the utility authorized to issue tariffs.	—	—	—	—	—
Financial Analysis		d) Date of issue and date tariff . is to become effective.	—	—	—	—	—
Financial Analysis		e) In the upper right hand corner, the Commission number of the tariff.	—	—	—	—	—
Financial Analysis		6) In that portion of the tariff dealing with rates, the following information under the following captions in order listed:					
Financial Analysis		a) Applicable: show territory covered by tariff.	—	—	—	—	—

<u>Division Responsible</u>	<u>Law/Regulation</u>	<u>Filing Requirement</u>	<u>Requirement Met</u>		<u>Waiver Requested</u>	<u>Approve Waiver?</u>	
			<u>YES</u>	<u>NO</u>		<u>YES</u>	<u>NO</u>
Financial Analysis		b) Availability of service: show classes of customers affected, such as domestic, commercial, etc.	---	---	---	---	---
Financial Analysis		c) Rates: a list of all rates covered by tariff.	---	---	---	---	---
Financial Analysis		d) Minimum charge: state amount of charge and quantity allowed.	---	---	---	---	---
Financial Analysis		e) Delayed payment charge: whether penalty or discount.	---	---	---	---	---
Financial Analysis		f) Term: if contracts are made for certain periods, length of term.	---	---	---	---	---
Financial Analysis		g) Special rules: any special rules and regulations in effect covering this tariff.	---	---	---	---	---
	<u>807 KAR 5:011</u>						
Financial Analysis	Section 4	Contents of rate schedules:					
Financial Analysis		1) Must state the city, town, village or district in which rates are applicable. If schedules applicable in a large number of communities, must be accompanied by an accurate index by which each community in which the rates are applicable may be readily ascertained, in which case reference must be made to the index sheet.	---	---	---	---	---
Financial Analysis		2) Rate schedule must state that class of service available under the rates stated therein.	---	---	---	---	---
Financial Analysis		3) For a tariff in which a number of schedules are shown for various uses, each schedule shall be identified	---	---	---	---	---

<u>Division Responsible</u>	<u>Law/Regulation</u>	<u>Filing Requirement</u>	<u>Requirement Met</u>		<u>Waiver Requested</u>	<u>Approve Waiver?</u>	
			<u>YES</u>	<u>NO</u>		<u>YES</u>	<u>NO</u>
		by a number or by a group of letters, and if by a group of letters, the designation shall be indicative of the class of service for which the schedule is available.					
Financial Analysis		4) Each page of the tariff shall bear the commission number of the tariff, the date issued and effective, the signature of the issuing officer, and in the upper right hand corner, a further designation, such as "Original Sheet No. 1," "Original Sheet No. 2," etc.	—	—	—	—	—
Financial Analysis		5) A statement as to whether a minimum charge is made, and if so, a listing of all such charges and a statement as to whether the minimum charge is subject to prompt payment discount or delayed payment penalty.	—	—	—	—	—
Financial Analysis	Section 6	If tariff filing involves the furnishing of equipment or services to the customer by the utility, must have a description of the equipment or service and a cost of service study justifying the proposed charges.	—	—	—	—	—